

ERC

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Public Health Service
Centers for Disease Control
National Institute for Occupational Safety and Health

TRAINING GRANT APPLICATION (Non-Competing Continuation) Form CDC 2.145B

GENERAL INFORMATION

Introduction

READ AND FOLLOW THESE INSTRUCTIONS CAREFULLY TO AVOID DELAYS AND MISUNDERSTANDINGS. Before preparing an application, review the Public Health Service Grants Policy Statement for information on the administration of training grants and cooperative agreements. A copy of this document is available at most applicant organizations.

The PHS requests the Social Security Number for the purpose of accurate identification, referral, and review of applications and for efficient management of PHS grant programs. Provision of the Social Security Number is voluntary. No individual will be denied any right, benefit, or privilege provided by law because of refusal to disclose his or her Social Security Number.

Information Available to the General Public

The Public Health Service (PHS) makes information available to the public on grants awarded, including the title of the project, the grantee institution, the program director, and the amount of the award. The Freedom of Information Act (5 USC 552) and the associated Public Information Regulations (445 CFR, Part 5) of the Department of Health and Human Services (DHHS) require the release of certain information about grants upon request. Release does not depend upon the intended use of the information, but is subject to deletion of material that would effect patent or other valuable rights. The grantee institution and the program director will be notified about any such release.

The following materials are generally available for release upon request: all funded grant applications as well as derivative unfunded and pending noncompeting continuation, competing continuation, and supplemental grant applications, progress reports of grantees; and final reports of any review or evaluation of grantee performance conducted or caused to be conducted by the DHHS. Generally not available for release are new grant applications for which awards are not made and evaluative portions of site visit reports and summary statements of findings and recommendations of peer review groups. However, such documents in the records are available for release to the program director under the provisions of the Privacy Act.

Public reporting burden of this collection of information varies from 175 to 200 hours with an estimated average of 189 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a current valid OMB

control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to DHHS Reports Clearance officer; Paperwork Reduction Project (0920 0261); Rm 531-H, HH Humphrey Bg; 200 Independence Ave., S.W., Washington, D.C. 20201.

Information Available to the Program Director

Under the provisions of the Privacy Act, program directors may request copies of their grant records from the organization responsible for funding decisions. In addition, program directors may request amendment of a record if they believe it is inaccurate, untimely, incomplete or irrelevant.

The Privacy Act 1974 (5 USC 552a) and the associated Privacy Act Regulations (45 CFR, Part 5b) give individuals the right of access, upon request, to information in the records concerning themselves. The Act provides a mechanism for correction or amendment of such information. It also provides for the protection of information pertaining to an individual, but it does not prevent disclosure if release of such information is required under the Freedom of Information Act. If a Privacy Act system of records applies, the name and number of the system will be identified.

If applicable, the Privacy Act requires that a Federal agency requesting information from an individual advise the individual of the agency's authority to make the request, whether compliance with the request is voluntary or mandatory; how and why the information will be used both inside and outside the agency; and what the consequences are for the individual of failing to provide all or any part of the requested information.

The CDC requests the information described in these instructions under authority of the Public Health Service Act as amended (42 USC 289-1). Although provision of the information requested is entirely voluntary, it is necessary for making grant award decisions. A lack of sufficient information may hinder CDC's ability to review applications. This information will be used within the Department of Health and Human Services, and may be disclosed outside the Department as permitted by the Privacy Act under the applicable system of records.

Government Use of Information

In addition to using information for evaluating applications, the CDC may use information to discharge its responsibilities concerning Occupational Safety and Health Training Grant awards under Section 21 (a) (1) of the Occupational Safety and Health Act of 1970 to identify candidates who may serve as ad hoc consultants or committee or national advisory council and board members; and to perform cost analyses of proposed grants.

The CDC maintains grant records as part of a system of records defined by the Privacy Act of 1974(5 USC 552a): 0920-0055, "Grants: Research, Research Training, Fellowship and Construction Applications." In addition, information related to grants is maintained as part of a management information system: 09-25 0036, "Grants: IMPAC (Grant/Contract Information)."

Some routine uses are:

1. To the cognizant audit for auditing;
2. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual;
3. To qualified experts not within the definition of Department of Health and Human Services (DHHS) employees as prescribed in DHHS regulations (45 CFR, Part 5b.2) for opinions as a part of the application review process;
4. To a Federal agency, in response to its request, in connection with the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter;
5. To organizations in the private sector with whom CDC has contracted for the purpose of collating,

analyzing, aggregating or otherwise refining records in a system. Relevant records will be disclosed to such a contractor, who will be required to maintain Privacy Act safeguards with respect to such records; and

6. To the applicant organization in connection with performance or administration under the terms and conditions of the award, or in connection with problems that might arise in performance or administration if an award is made.
7. Another routine use is to the Department of Justice, to a court of other tribunal, or to another party before such tribunal, when one of the following is a party to litigation or has any interest in such litigation, and the DHHS determines that the use of such records by the Department of Justice, the tribunal, or the other party is relevant and necessary to the litigation and would help in the effective representation of the governmental party;
 - a. the DHHS, or any component thereof;
 - b. any DHHS employee in his or her official capacity;
 - c. any DHHS employee in his or her individual capacity where the department of Justice (or the DHHS, where it is authorized to do so) has agreed to represent the employee; or
 - d. The United States or any agency thereof, where the DHHS determines that the litigation is likely to affect the DHHS or any of its components.

The Privacy Act also authorizes discretionary disclosures where determined appropriate by the CDC, including to law enforcement agencies; to the Congress acting within its legislative authority; to the Bureau of the Census; to the National Archives; to the General Accounting Office; pursuant to a court order; or as required to be disclosed by the Freedom of Information Act of 1974 (5 USC 552) and the associated DHHS regulations (45 CFR. Part 5).

ASSURANCES

Before an award is made, the applicant organization must have submitted and had accepted by the DHHS Office for Civil Rights, an Assurance of Compliance, Form HHS 690, agreeing to comply with:

1. Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352), as amended, and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 CFR Part 80). This provides that, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefit of, or be otherwise subjected to discrimination under any program or activity receiving Federal financial assistance.
2. Section 504 of the Rehabilitation Act of 1973 (Pub.L.93-112), as amended (45 CFR Part 84). This provides that no handicapped individual in the United States, shall solely by reason of his handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.
3. Title IX of the Educational Amendments of 1972 (Pub. L. 92-318), as amended (45 CFR Part 86), which provides that no person shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any education program or activity receiving Federal financial assistance.
4. The Age Discrimination Act of 1975 (Pub L. 94- 135), as amended (45 CFR, Part 91) providing that no person shall, on the basis of age, be excluded from participation in, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

In accordance with 45 CFR, Part 83 of the DHHS Regulations issued under Sections 704 and 855 of the Public Health Service Act, no grant, Cooperative Agreement, loan guarantee, or interest subsidy payment under Titles VII or VIII of the Public Health Service Act shall be made to or for the benefit of any entity, and no contract under Titles VII or VIII of the Public Health Service Act shall be made with any entity, unless the entity furnishes assurances satisfactory to the Director, Office for Civil Rights, that the entity will not discriminate on the basis of sex in the admission of individuals to its training programs.

GENERAL INSTRUCTIONS

Forms

Use Form CDC 2.145B if you wish to apply for annual non-competing grant support for your currently supported project. ***You must complete and return the enclosed forms to CDC by the date indicated.***

Complete and return the following form:

1. The signed original of CDC 2.145B and two additional copies.

If an optional first page, with information already preprinted through item 5, is included in the application kit, complete and use it as final copy. Use the white copy that is part of the set only when a preprinted copy is not provided or when extensive corrections are necessary.

Submission

Use English only and avoid jargon and unusual abbreviations. Type the application, single spaced, using a **black** ribbon; stay within the margin limitations indicated on the form. When additional space is needed to complete any of the items, use plain white paper (8 ½ X 11 inches), leave ½ inch margin on each side, identify each item by its title, and type the name of the program director and the grant number in the upper right corner of each page. All pages, including Appendices should be numbered consecutively at least ½ in from the bottom edge. Use standard size type; do not use photo reduction. Draw all graphs, diagrams, tables, and charts in black ink. Do not include photographs, oversized documents, or materials that do not reproduce well in the body of the application; submit them in an APPENDIX. Follow the specific instructions provided for preparing the application. Applicants should use the recommended outline provided in the packet. Limit the pages in the narrative section describing training programs/cores to 10 pages per training program core. Mail or deliver the complete and signed typewritten original of the application and two signed, exact photocopies in one package by the indicated to the Centers for Disease Control and Prevention, Attention: Grants Management Officer, Procurement and Grants Office, 255 E. Paces Ferry Road, N.E., Room 300, MS-E13, Atlanta, Georgia 30305. The photocopies must be clear. A color coded, pre-address mailing label is provided in the application kit. Please use this label to expedite handling. Do not bind or staple the sets, but secure them with rubber bands or paper clips. The deadline for submission of non-completing continuation application is *November 15*.

SPECIFIC INSTRUCTIONS

Please refer to the CDC/NIOSH Recommended Outline for the Preparation of ERC Non-Competing (Continuation) Training Grant Applications (in the application packet).

Instructions for Page 1

(Training Grant Non-Competing Continuation Application, CDC 2.145B)

Item 1-5. If these items have been preprinted on the form, check them carefully and, when necessary, make corrections by entering the item number and the correct information under Block 8. If corrections are extensive, or if a preprinted face page is not provided in the application kit, complete each item on the first page of the set of forms. The Entity Identification Number (Item 4), assigned by the DHHS for payment and accounting purposes,

should be checked or supplied by the business official.

Item 6. Performance Site(s). Indicate where the program will be conducted. If there is more than one performance site, list them all.

Item 7. Direct Cost Requested. Enter the total direct cost from the Form Page 2.

Item 8. Telephone Information. Self-explanatory.

Item 10. Program Director Assurance. Self-explanatory.

Item 11. Certification and Acceptance. The official signing for the applicant organization is certifying also that adequate facilities and staff will continue to be available for the conduct of the training program.

Instructions for Page 2

Detailed Budget for Requested Budget Period. In general, use the amount shown on the latest Notice of Grant Award recommended for the requested budget period as the guide for developing the upper level of the annual budget.

A. Training Related Expenses

Itemize by category (i.e., personnel, consultant costs, etc.) training related expenses. Show the total amount requested for these expenses under SUBTOTAL (Section A). If personnel listed are on a less than 12 month appointment, identify them and their appointment time STATUS under the **Budget Justification** section on the next page.

Item 1. Personnel. List participants—professional and nonprofessional—by name and position, or by position only if not yet employed, for whom salary is requested. For each professional, state the full-time equivalent (FTE) effort to be devoted to the training project. It is important to note that the sum of FTE effort to be expended by each individual for all professional activities must not exceed 1 FTE. Specify both total FTE effort on the project and FTE effort for which salary is requested.

On a continuation page, list the total program effort (FTE) that personnel, including unpaid (voluntary) faculty, (professional, technical, secretarial and clerical) devote to the training program and reflect their contribution in the budget justification even though funds for salaries have not been requested. Information on both grant and nongrant supported positions is essential in order for reviewers to determine if program resources are adequate.

List the dollar amounts separately for fringe benefits and salary for each individual. In computing estimated salary charges, an individual's base salary represents the total authorized annual compensation that an applicant organization would be prepared to pay for a specified work period irrespective of whether an individual's time would be spent on government-sponsored research, teaching or other activities. The base salary for the purposes of computing charges to a CDC grant excludes income which an individual may be permitted to earn outside of full-time duties to the applicant organization. Where appropriate, indicate whether the amounts requested for the professional personnel are for summer salaries or academic year salaries.

Item 2. Consultant Costs. Give name and institutional affiliation of each consultant, if known, and indicate the nature and extent of the consultant service to be performed. Include expected rate of compensation and total fees, travel, per diem, or other related costs for each consultant.

Item 3. Equipment. List and justify each separate item of equipment costing more than \$500. Items costing less than \$500 should be grouped together. If requesting funds to purchase equipment which is already available, explain the need for the duplication.

Item 4. Supplies. Itemization and justification as to how major types of supplies, such as general office and photocopying expenses (expendable personal property) relate to the training program are required for all items of

supplies purchased with grant funds. Medical/clinical supplies and drugs are not ordinarily acceptable.

Item 5. Staff Travel. Enter amount for staff travel essential to the conduct of the training program. Describe the purpose of the travel giving the number of trips involved, the destinations and the number of individuals for whom funds are requested. Foreign travel is an allowable cost with prior approval. Please note that travel costs for consultants should be under "Consultants."

Item 6. Other Expenses. List and justify other expenses by major categories. Do not include under this category items which properly belong in one of the other categories.

B. Trainee Expenses

Provide information where possible on form page 2 with additional details starting in the Budget Justification block on form page 3.

Item 1. Trainee Costs

Stipends. Enter the number of trainees and stipend amount for each trainee degree level as appropriate. If a category contains different stipend levels and/or varying appointment periods, itemize. A current list of maximum allowable stipend levels is included in the application kit.

Tuition and Fees. Explain in detail the composition of this item. Tuition at the postdoctoral level is limited to that required for specified courses. The institution may request tuition and fees (including appropriate health insurance) only to the extent that the same resident or nonresident tuition and fees are charged to regular non-Federally supported students.

Item 2. Trainee Travel. Describe the purpose of any travel, giving the number of trips involved, and the number of individuals for whom funds are requested.

Subtotal Trainee Expenses (Section B):

Enter the sum of Trainee Costs and Trainee Travel.

C. Total Direct Cost. Self-explanatory.

Instructions for Page 3

D. Indirect Cost. Indirect cost under these training grants will be reimbursed at 8 percent of total allowable direct cost exclusive of tuition and related fees, and equipment, or at the actual indirect cost rate, whichever results in a lesser dollar amount. State and local government agencies will receive reimbursement at their full indirect cost rate for training grants.

E. Supplemental Information and Budget Justification. Provide supplemental information for budget on page 2. Explain the basis for the budget categories requested. Provide justification for all items in the Detailed Budget on page 2. If applicable provide a separate budget justification for research training program expenses, including personnel and trainee expenses. Use continuation pages as necessary.

Instructions for Page 4

Current Budget Period. Self-explanatory.

Item A. Budget

Column 1. Enter appropriate figures from the Notice of Grant Award for the current budget period.

Column 2. Insert, in the column heading, the date through which actual expenditure information is available. Then, enter the actual expenditures incurred from the beginning of the current budget period through the date indicated.

Column 3. Provide a best estimate of the expenditures and obligations that will be incurred during the remainder of the current budget period.

Column 4. The total estimated expenditures and obligations entered should cover the entire budget period.

Column 5. Subtract column 4 from column 1 to arrive at the estimated unobligations balance at the end of the current budget period.

Items B, and C. Self-explanatory.

Instructions for Page 5

Progress Report Summary. Well-planned progress reports can be of great value by providing a record of accomplishments, which can serve as a basis for continuing support of the program. They are also an important source of material for the awarding unit staff in preparing annual reports, in planning programs, and in communicating scientific accomplishments.

The progress report should be a brief presentation of the accomplishments and changes in the training program during the reporting period and plans for the coming year. Show the grant number(s) and the dates of the reporting period from date of last report to date of submission of this report in the upper right corner of the form page and any continuation pages.

1. Provide a brief description of the training objective and goals of the reporting period. Highlight progress in implementation of developments or changes that have occurred. Note any difficulties encountered in achieving objectives.
2. Specify the way in which essential program enhancement was achieved through the availability of the Training Related Expenses (i.e., personnel, consultant costs, etc.----Section A of the detailed budget).
3. Indicate changes in the program leadership and faculty including, faculty commitment and breadth and faculty reputation and strength. Include a table displaying core faculty and supporting faculty along with their specific areas of competence.
4. Indicate changes in the status of the program including the Regional need for the program.
5. List trainees appointed to the training program during the reporting period showing degrees earned; premature termination and reasons for termination; and trainees who completed training and their beginning positions, if known. Also, list current trainees and trainees to be continued and degrees sought.
6. List the titles and complete references (author(s), journal or book, year, page number) of all publications not previously reported for both faculty and students. This includes manuscripts submitted or accepted for publication. Include publications by trainees as well as those by faculty that resulted, in whole or in part, from support provided by the grant.
7. List the source, project title, and annual amount of other Federal and/or non-Federal support for this training program during the reporting period.
8. Indicate specific objectives for the remainder of the current budget period and for the requested budget period. Describe anticipated changes in the program, including changes in key faculty and

significant changes in available space and/or facilities.

Biographical Sketch Page. Supply updated biographical sketches on the Program Director and on key professional personnel who have been added to the staff in the reporting period. Limit each to two pages.

Research and Training Support. List separately all current, pending , and proposal support. Include all Federal, non-Federal, and institutional grant and contract support. If none, state "none." For each item give the source of support, identifying number, project title, name of program director, time or percent of effort on the project by professional named, annual direct cost, and entire period support.

Checklist Page

Self-explanatory. This is the last page of the application and should be appropriately numbered. The checklist will not be duplicated with the rest of the application. It will be reserved for internal CDC staff use only.

Indirect Cost. Indirect cost under these training grants will be reimbursed at 8 percent of total allowable direct cost exclusive of tuition and related fees, and equipment, or at the actual indirect cost rate, whichever results in a lesser dollar amount. In the case of contracts with other institutions, it is necessary to identify, on the Checklist page, if indirect cost are to be charged by the applicant.